

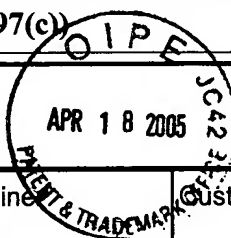
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|  |   |                               |                              |                               |                                 |  |
|--|---|-------------------------------|------------------------------|-------------------------------|---------------------------------|--|
| <b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b><br>(Under 37 CFR 1.97(b) or 1.97(c))  |   |                               |                              |                               | Docket No.<br>17106             |  |
| In Re Application Of: <b>Roland Contreras et al.</b>   |   |                               |                              |                               |                                 |  |
| Application No.<br><b>10/713,970</b>   | Filing Date<br><b>November 14, 2003</b> | Examiner<br><b>Unassigned</b> | Customer No.<br><b>23389</b> | Group Art Unit<br><b>1646</b> | Confirmation No.<br><b>5158</b> |  |
| Title: <b>MODIFICATION OF PROTEIN GLYCOSYLATION IN METHYLOTROPHIC YEAST</b>  |   |                               |                              |                               |                                 |  |
| <p>Address to:<br/>Commissioner for Patents<br/>P.O. Box 1450<br/>Alexandria, VA 22313-1450</p> <p><b>37 CFR 1.97(b)</b></p> <p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <p style="text-align: center;"><b>37 CFR 1.97(c)</b></p> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <p style="margin-left: 40px;"><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p style="text-align: center;"><b>OR</b></p> <p style="margin-left: 40px;"><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p> |   |                               |                              |                               |                                 |  |

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
17106

In Re Application: **Roland Contreras et al.**



|                                      |   |                               |                              |                               |                                 |
|--------------------------------------|---|-------------------------------|------------------------------|-------------------------------|---------------------------------|
| Application No.<br><b>10/713,970</b> | Filing Date<br><b>November 14, 2003</b> | Examiner<br><b>Unassigned</b> | Customer No.<br><b>23389</b> | Group Art Unit<br><b>1646</b> | Confirmation No.<br><b>5158</b> |
|--------------------------------------|---|-------------------------------|------------------------------|-------------------------------|---------------------------------|

Title: **MODIFICATION OF PROTEIN GLYCOSYLATION IN METHYLOTROPHIC YEAST**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **19-3886/RCT** as described below.
- ☐ Charge the amount of \_\_\_\_\_
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- ☒ Charge any additional fee required.
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**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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**Certificate of Mailing by First Class Mail**

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April 14, 2005

(Date)

  
Signature of Person Mailing Correspondence

Xiaochun Zhu

Typed or Printed Name of Person Mailing Certificate

Dated: **April 14, 2005**

**Xiaochun Zhu**

**Reg. No. 56,311**

**SCULLY, SCOTT, MURPHY & PRESSER**

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**Garden City, NY 11530**

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**XZ:jam**

CC:



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                    |   |                  |                |
|--------------------|---|------------------|----------------|
| <b>Applicants:</b> | Roland Contreras, et al.  | <b>Examiner:</b> | Unassigned     |
| <b>Serial No.:</b> | 10/713,970  | <b>Art Unit:</b> | 1646           |
| <b>Filed:</b>      | November 14, 2003   | <b>Docket:</b>   | 17106          |
| <b>For:</b>        | MODIFICATION OF PROTEIN<br>GLYCOSYLATION IN<br>METHYLOTROPHIC YEAST | <b>Dated:</b>    | April 14, 2005 |

**Confirmation No.:** 5158

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following reference, which is also listed on the attached Form PTO-1449, be made of record in the above-identified case.

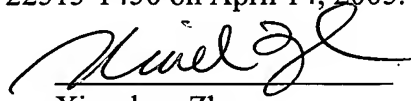
1. United States Patent No. 6,803,225 B2, issued to Contreras et al., dated October 12, 2004.

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on April 14, 2005.

Dated: April 14, 2005

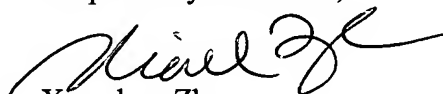
  
Xiaochun Zhu

The reference was cited in the International Search Report dated March 18, 2005, issued in the corresponding International PCT Application. Applicants are submitting a copy of the Search Report. In accordance with the waiver of 37 C.F.R. § 1.98 (a)(2)(i) in effect as of June 30, 2003, Applicants are not required to submit a copy of the above-cited U.S. Patent reference. Please note that the other references cited in the Search Report, namely, Bretthauer et al., "Glycosylation of Pichia pastoris-derived proteins" and Martinet et al., "Modification of the protein glycosylation pathway in the methylotrophic yeast Pichia pastoris", were previously submitted with Applicants' Information Disclosure Statement dated April 6, 2004. The relevance of the above-identified references has been described in the Search Report.

The undersigned attorney hereby states that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no fee is required.

Respectfully submitted,

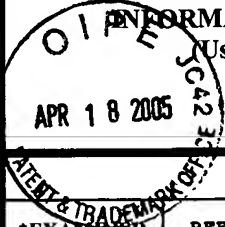


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XZ:jam/ab

| <div style="text-align: center;">  <p><b>INFORMATION DISCLOSURE CITATION</b><br/>(Use several sheets if necessary)</p> </div>                                  |     |                    |            | Docket Number (Optional)<br><b>17106</b>       |       | Application Number<br><b>10/713,970</b> |                               |    |
|--|-----|--------------------|------------|--|-------|---|-------------------------------|----|
|  |     |                    |            | Applicant(s)<br><b>Roland Contreras et al.</b> |       |   |                               |    |
|  |     |                    |            | Filing Date<br><b>November 14, 2003</b>        |       | Group Art Unit<br><b>1646</b>           |                               |    |
| <b>U.S. PATENT DOCUMENTS</b>   |     |                    |            |  |       |   |                               |    |
| *EXAMINER<br>INITIAL   | REF | DOCUMENT NUMBER    | DATE       | NAME   | CLASS | SUBCLASS                                | FILING DATE<br>IF APPROPRIATE |    |
|  |     | 6,803,225 B2       | 10/12/2004 | Contreras et al.                               |       |   |                               |    |
|  |     |                    |            |  |       |   |                               |    |
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| <b>FOREIGN PATENT DOCUMENTS</b>  |     |                    |            |  |       |   |                               |    |
|  | REF | DOCUMENT<br>NUMBER | DATE       | COUNTRY  | CLASS | SUBCLASS                                | TRANSLATION                   |    |
|  |     |                    |            |  |       |   | YES                           | NO |
|  |     |                    |            |  |       |   |                               |    |
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|  |     |                    |            |  |       |   |                               |    |
|  |     |                    |            |  |       |   |                               |    |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>  |     |                    |            |  |       |   |                               |    |
|  |     |                    |            |  |       |   |                               |    |
| <b>EXAMINER</b>  |     |                    |            | <b>DATE CONSIDERED</b>                         |       |   |                               |    |
| <b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |     |                    |            |  |       |   |                               |    |